PATENT COOPERATION TREATY



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INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

| Applicant's or agent's file reference AHB/FP6164701 FOR FURTHER AC | | | | FOR FURTHER AC | | n of Transmittal of International amination Report (Form PCT/PEA/416) |
|--|--|--------|--------------------------|--------------------------|------------------------------------|---|
| International application No. International filing date (PCT/EP 03/08926 12.08.2003 | | | | , | (day/month/year) | Priority date (day/month/year) 14.08.2002 |
| International Patent Classification (IPC) or both national classification and IPC A61K39/385 | | | | | | |
| Applicant AVIDIS SA et al. | | | | | | |
| | This international preliminary examination report has been prepared by this international Preliminary Examining Authority and is transmitted to the applicant according to Article 36. | | | | | |
| 2. | 2. This REPORT consists of a total of 7 sheets, including this cover sheet. | | | | | |
| 2 | This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT). | | | | | |
| | These annexes consist of a total of sheets. | | | | | |
| 3. | 3. This report contains indications relating to the following items: | | | | | |
| ļ | Basis of the opinion | | | | | |
| | 11 111 | ⊠ | Priority | oninion with regard to n | avaltu inventive eten a | and industrial applicability |
| | IV | | Lack of unity of inventi | | overty, inventive step a | ind industrial applicability |
| | V Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement | | | | | |
| | VI | | Certain documents cite | ed | | |
| | VII | | | nternational application | | |
| | VIII | Ц | Certain observations o | n the international appl | lication | |
| Date of | of sub | missio | n of the demand | | Date of completion of th | ils report |
| 12.03.2004 | | | | _ | 02.03.2005 | |
| | Name and mailing address of the international preliminary examining authority: | | | | Authorized Officer | attribute Princes |
| European Patent Office - P.B. 5818 Patentlaan 2 NL-2280 HV Rijswijk - Pays Bas Tel. +31 70 340 - 2040 Tx: 31 651 epo nl Fax: +31 70 340 - 3016 | | | | as | Nooij, F Telephone No. +31 70 3 | 340-3267 |

INTERNATIONAL PRELIMINARY **EXAMINATION REPORT**

International application No.

PCT/EP 03/08926

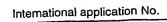
| 1. | Basis | of the | report |
|----|--------------|--------|--------|
|----|--------------|--------|--------|

With regard to the elements of the international application (Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)):

| | Desc | escription, Pages | | | | | | |
|------|---|--|---|--|--|--|--|--|
| 1-47 | | | as originally filed | | | | | |
| | Ola:: | ns, Numbers | | | | | | |
| | | ns, Numbers | as originally filed | | | | | |
| | 1-21 | | as originally many | | | | | |
| | Drav | Drawings, Sheets | | | | | | |
| | 1/6-6 | | as originally filed | | | | | |
| 2. | With | With regard to the language , all the elements marked above were available or furnished to this Authority in the anguage in which the international application was filed, unless otherwise indicated under this item. | | | | | | |
| | These elements were available or furnished to this Authority in the following language: , which is: | | | | | | | |
| | | turnished for the purposes of the international search (under Rule 23.1(b | | | | | | |
| | _ | ut - 1uses of public | cation of the international application (under Rule 48.3(b)). | | | | | |
| | | the language of a tran | a translation furnished for the purposes of international preliminary examination (under r 55.3). | | | | | |
| 3. | Witi inte | Vith regard to any nucleotide and/or amino acid sequence disclosed in the international application, the nternational preliminary examination was carried out on the basis of the sequence listing: | | | | | | |
| | Ø | contained in the inter | mational application in written form. | | | | | |
| | ⊠ | filed together with the | e international application in computer readable form. | | | | | |
| | | furnished subsequen | ntly to this Authority in written form. | | | | | |
| | | timished subsequen | atly to this Authority in computer readable form. | | | | | |
| | | The statement that the subsequently furnished written sequence listing does not go beyond the disciplant the international application as filed has been furnished. | | | | | | |
| | | | | | | | | |
| 4 | 4. Th | The amendments have resulted in the cancellation of: | | | | | | |
| | | the description, | pages: | | | | | |
| | | | Nos.: | | | | | |
| | | the drawings, | sheets: | | | | | |
| | | | | | | | | |

Form PCT/IPEA/409 (January 2004)

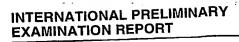
INTERNATIONAL PRELIMINARY EXAMINATION REPORT



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| 5. 🗆 | heen considered to do Devollu u | | | as if (some of) the amendments had not been made, since they have e disclosure as filed (Rule 70.2(c)). | | | |
|---|--|---------------------------------|----------------------------|---|---|--|--|
| (Any replacement sheet containi report.) | | | ng sucl | n amendmen | ts must be referred to under item 1 and annexed to this | | |
| 6. A | Additional observations, if necessary: | | | | | | |
| III. N | lon | -establishment of opinion with | regar | d to novelty | inventive step and industrial applicability | | |
| The questions whether the claimed invention appears to be novel, to involve an inventive step (to be non-obvious), or to be industrially applicable have not been examined in respect of: | | | | | | | |
| □ the entire international application, ☑ claims Nos. 11, 21 (both partially) | | | | | | | |
| | | | | | | | |
| | | ecause: | | | | | |
| the said international application, or the said claims Nos. 11, 21 (both partially, for reasons of industrial applicability) relate to the following subject matter which does not require an international preliminary examination (specify): | | | | | Nos. 11, 21 (both partially, for reasons of industrial hich does not require an international preliminary | | |
| see separate sheet | | | | | | | |
| the description, claims or drawings (indicate particular elements below) or said claims Nos. are that no meaningful opinion could be formed (specify): the claims, or said claims Nos. are so inadequately supported by the description that no meaning could be formed. | | | | | <i>y</i> . | | |
| | | | | | | | |
| Depointernational search report has been established for the said claims Nos. | | | d for the said claims Nos. | | | | |
| A meaningful international preliminary examination cannot be carried out due to the failure of the nucleotic or amino acid sequence listing to comply with the standard provided for in Annex C of the Administrative Instructions: | | | | | | | |
| | | the written form has not been f | urnish | ed or does no | ot comply with the Standard. | | |
| | | the computer readable form ha | s not b | een furnishe | d or does not comply with the Standard. | | |
| | | | | | | | |
| V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement | | | | | | | |
| 1. Statement | | | | | | | |
| | Ν | ovelty (N) | Yes: No: | Claims Claims | 16 1-15,17-21 | | |
| | lr | oventive step (IS) | Yes: No: | Claims Claims | 1-21 | | |
| l | | ndustrial applicability (IA) | Yes: No: | Claims Claims | 1-10,12-20 | | |

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2. Citations and explanations see separate sheet

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EXAMINATION REPORT - SEPARATE SHEET

Re Item III

Non-establishment of opinion with regard to novelty, inventive step and industrial applicability

Present claims 11 and 21 relate to subject-matter considered by this Authority to be covered by the provisions of Rule 67.1(iv) PCT. Consequently, no opinion will be formulated with respect to the industrial applicability of the subject-matter of these claims (Article 34(4)(a)(i) PCT).

Re Item V

Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

- D1: WO 00 69907 A (MEDICAL RESEARCH COUNCIL) 23 November 2000 (2000-11-23) cited in the application
- D2: WO 91 11461 A (BIOGEN, INC.) 8 August 1991 (1991-08-08) cited in the application
- D3: GB-A-2 282 813 (MERCK & CO., INC.) 19 April 1995 (1995-04-19)
- D4: E. SHINYA ET AL.: 'In-vivo delivery of therapeutic proteins by genetically-modified cells: comparison of organoids and human serum albumin alginate-coated beads. BIOMEDICINE AND PHARMACOTHERAPY, vol. 53, December 1999 (1999-12), pages 471-483, XP002231127, Paris, France. cited in the application
- D5: WO 01 00231 A (SMITHKLINE BEECHAM BIOLOGICALS) 4 January 2001 (2001-01-04)
- D6: A. KOL ET AL.: 'Cutting edge: Heat shock protein (HSP) 60 activates the innate immune response: CD14 is an essential receptor for HSP60.' THE JOURNAL OF IMMUNOLOGY, vol. 164, no. 1, 1 January 2000 (2000-01-01), pages 13-17, XP002262385, Baltimore, MD, USA

NOVELTY (Article 33(2) PCT) 1.

1.1 D1 discloses a protein scaffold, e.g. cpn10 (see page 12, lines 5-6), which may incorporate an adjuvant on the scaffold, together with an immungen (see page 14, lines 29-30). Used for vaccination. It also mentions a heterologous polypeptide, which may comprise other non-amino acid components (see page 9, line 28 - page 10, line 2), and which may be inserted into the cpn10 family polypeptide (see page 4, lines

Form PCT/Separate Sheet/409 (Sheet 1) (EPO-April 1997)

30-31). Also DNA vaccination disclosed. Hsp60 may act as a scaffold with adjuvant properties, i.e. scaffold is also adjuvant (see page 20, line 20 - page 21, line 12). According to *D6* (see abstract), hsp60 can activate the immune response via CD14, present on monocytes and macrophages, i.e. antigen-presenting cells.

- 1 2 D2 discloses a protein scaffold, e.g. C4bp, fused to functional moieties, e.g. antigens for vaccination purposes. Adjuvant may be included. Heteromultimeric fusion proteins comprising C4bp and CD4. The latter is a ligand for MHC class II molecules which are expressed a.o. on activated T cells. Also expression vectors and prokaryotic and eukaryotic host cells have been disclosed.
- 1.3 D3 discloses annular antigen scaffolds comprising thioether linkages. Adjuvants may also be coupled to this complex (see the examples and claims).
- 1.4 D4 disclosesa.o. multimeric CD4-C4bp fusion proteins. Transfected eukaryotic 293 host cells. Also gene therapy (see abstract).
- 1.5 D5 discloses a fusion protein comprising HBsAg and malaria sequences. Maybe combined with several adjuvants.
- 1.6 In view of the prior art, the subject-matter of present claims 1-15 and 17-21 is not new in the sense of Article 33(2) PCT.
- 2. INVENTIVE STEP (Article 33(3) PCT)
- 2.1 Present dependent claim 16 does not contain any features which, in combination with the features of any claim to which it refers, meet the requirements of the PCT in respect of inventive step, the reasons being as follows:

D4 discloses that soluble multimeric CD4-C4bp was produced by <u>eukaryotic</u> 293 cells implanted in organoids at levels of 2,300 ng/mL, i.e. 2.3 mg/L.

The choice for production of the multimeric fusion protein in <u>prokaryotic</u> host cells would be one that is merely one of several straightforward possibilities from which the skilled person would select, in accordance with the circumstances, without the

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exercise of inventive skill, in order to solve the problem posed.

3. FURTHER REMARKS

- 3.1 For the assessment of the present claims 11 and 21 on the question whether they are industrially applicable, no unified criteria exist in the PCT Contracting States. The patentability can also be dependent upon the formulation of the claims. The EPO, for example, does not recognize as industrially applicable the subject-matter of claims to the use of a compound in medical treatment, but may allow, however, claims to a known compound for first use in medical treatment and the use of such a compound for the manufacture of a medicament for a new medical treatment.
- 3.2 The phrase "... a polypeptide which is a ligand for CD21 or a cell surface molecule on B cells or T cells or follicular dendritic or other antigen-presenting cells..." used in present claims 2, 12, 13 and 18, is vague and unclear and leaves the reader in doubt as to the meaning of the technical feature to which it refers, thereby rendering the definition of the subject-matter unclear (Article 6 PCT):

 From the present wording of said claims, it is not clear whether the polypeptide can be a cell surface molecule (itself)...etc., or that the polypeptide can be a ligand for a cell surface molecule... etc.

Form PCT/Separate Sheet/409 (Sheet 3) (EPO-April 1997)